

SEMP COMPLIANCE QUESTIONNAIRE

Element 3: Hazards Analysis

Date: _____

Organization Name: _____ Facility Name: _____

Additional Information about Auditee and Audit Site:

Auditors:

No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
1	P	What are the management program requirements for scheduling and performance of PHA's? Example Expectations: 1. Written plan for scheduling and performing PHA's. 2. Policy or program guidance governing scheduling and performing PHA's.		RP 75, 3.1	
2	B	Have hazards analyses been completed? Example Expectations: 1. PHA records that show completion. 2. Interviews with responsible or operating personnel indicating completion. 3. Facility records of completed PHA's.		RP 75, 3.1	

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No.	Q. Code (F/P/B)	Questions and Expectations	Finding (C/N/NA)	Refs.	Observations
3	P	<p>Have all completed hazards analyses followed one or more methodologies such as those recommended in API RP 14J or other acceptable methodologies appropriate to the risk of each facility?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Written declaration of methodology used and the rational for using it. 2. PHA records that show the methodology used. 3. PHA records of analyses of production equipment. 		RP 75, 3.2.1	
4	P	<p>Has a prioritization scheme been established for conducting hazard analyses for existing facilities?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Written plan showing the order of facilities to be analyzed and the considerations used to prepare the schedule. 2. Program guidance showing the factors to be used to determine the priority order of PHA's. 		RP 75, 3.3.1	

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5	P	<p>Have hazards analyses performed on new or modified facilities given special consideration to the following:</p> <ul style="list-style-type: none"> a. Previous experience with a similar facility? b. Design circumstances, such as changes in the design team or the design itself, after the project was underway? c. Unusual facility location, design or configuration, equipment arrangement, or emergency response considerations? d. Any findings that needed to be brought to resolution before startup or that required immediate attention? e. Operating procedures and practices, including simultaneous operations guidelines? <p>Example Expectations:</p> <ul style="list-style-type: none"> 1. PHA reports for new facilities that show consideration of these items. 2. Program guidance requiring consideration of these items. 		RP 75, 3.3.2	

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6	B	<p>Has a program been established to ensure that the most recent hazards analysis reflects the current process and any changes made to the facility?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Written guidance establishing policy for periodic updates at reasonable intervals and setting forth a schedule. 2. PHA reports showing that updates have occurred. 		RP 75, 3.4	
7	B	<p>Has a program been established to ensure that hazards analyses are reviewed periodically and updated, as appropriate?</p> <p>Example Expectation:</p> <ol style="list-style-type: none"> 1. Written procedures requiring review intervals from 5 years for high-priority facilities to 10 years for low-priority facilities. 		RP 75, 3.4	
8	B	<p>Did the hazards analysis team include members knowledgeable in disciplines such as engineering, operations, design, process, safety, environmental, and other specialties as appropriate?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. PHA records showing qualifications for team members or the rationale or their selection. 2. Interviews with those responsible for selecting team members, indicating reasons for selections. 		RP 75, 3.5	

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9	B	Was at least one person on the hazards analysis team knowledgeable in the hazards analysis methodologies employed? Example Expectation: 1. PHA records that show the qualifications for team members.		RP 75, 3.5	
10	B	If only one person performs the hazards analysis, what selection criteria are in place to ensure an impartial view? Example Expectation: 1. Written guidance with selection criteria.		RP 75, 3.5	
11	P	Does the management program require that findings of hazards analyses be documented in written reports that describe the hazards that were identified and the recommended steps taken to address them? Example Expectations: 1. Program guidance that describes the report content. 2. PHA reports that show the findings and recommendations.		RP 75, 3.6	
12	B	Does the management program require that findings and follow-up actions of hazards analyses be communicated to appropriate personnel? Example Expectations: 1. Evidence of a system for distributing and communicating the results of PHA's. 2. Personnel interviews indicating that these results were communicated.		RP 75, 3.6	

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13	P	<p>Does the hazards analysis program require that pre-startup conditions or immediate hazardous conditions be corrected?</p> <p>Example Expectations:</p> <ol style="list-style-type: none"> 1. Written guidance mandating these corrections. 2. PHA reports and follow-ups showing that these corrections are made. 3. Operating personnel interviews indicating these corrections are made. 		RP 75, 3.6	

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